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DATE November 6, 2003

| TO | COMPANY NAME | FAX NO. | PHONE NO. |
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| Office of Initial Patent Examination's Filing Receipt Corrections | U.S. Patent and Trademark Office | 703-746-9195 | |

TOTAL NO. OF PAGES 8

| | |
|---------------------|-------------------------|
| FROM | Ian G. DiBernardo |
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| ATTORNEY NO. | 3350 |
| CLIENT/MATTER NAME | |
| CLIENT/MATTER NO. | 061801/1061 |

MESSAGE

APPLICANT: JAMES P. DAVIDOWITZ ET AL.

APPLICATION NO.: 10/615,428

FILED: JULY 7, 2003

TITLE: METHOD AND SYSTEM FOR INITIATING PAIRS
TRADING ACROSS MULTIPLE MARKETS HAVING
AUTOMATIC PRICE HEDGE

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Docket No.
061801/1061

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicants: James P. Davidowitz et al Group Art Unit: 3624

Application No.: 10/615,428 Examiner: N/A

Filed: July 7, 2003

For: **METHOD AND SYSTEM FOR INITIATING PAIRS TRADING
ACROSS MULTIPLE MARKETS HAVING AUTOMATIC
FOREIGN EXCHANGE PRICE HEDGE**

Date: November 6, 2003

**CERTIFICATE OF TRANSMISSION
BY FACSIMILE (37 C.F.R. § 1.8)**

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PO Box 1450
Alexandria, Virginia 22313-1450

Sir:

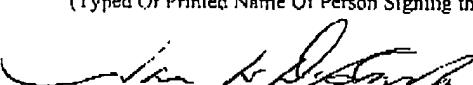
I hereby certify that the following correspondence:

**Request for Corrected Filing Receipt, Page 2 of the Combined Declaration and Power of
Attorney, Copy of the Official Filing Receipt for Provisional Application Serial Number
60/483,487, Copy of Filing Receipt with changes indicated in red**

is being transmitted by facsimile to the United States Patent and Trademark Office in
accordance with 37 C.F.R. § 1.8 on the following date: November 6, 2003

Ian G. DiBernardo

(Typed Or Printed Name Of Person Signing this Certificate)


(Signature)

STROOCK

November 6, 2003

Ian G. DiBernardo

212-806-6288

idibernardo@stroock.com

Mail-Stop
Commissioner for Patents
PO Box 1450
Alexandria, Virginia 22313-1450

Attn: Office of Initial Patent Examination's
Filing Receipt Corrections

Re: U.S. Patent Application Serial No. 10/615,428
Applicants: James P. Davidowitz et al.

For: METHOD AND SYSTEM FOR INITIATING PAIRS TRADING
ACROSS MULTIPLE MARKETS HAVING AUTOMATIC
FOREIGN EXCHANGE PRICE HEDGE

Attorney Docket No. 061801/1061

REQUEST FOR CORRECTED FILING RECEIPT

Dear Sir or Madam:

We have received a Filing Receipt for the above-identified patent application and have noted that the domestic priority data section does not include the provisional information from which this application is based. At the time of filing, the provisional application to which priority has been claimed had not yet received an application serial number, and therefore could not be included in this application.

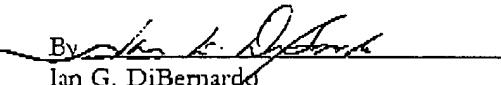
In the Domestic Priority Data section of the Filing Receipt, please add the priority information as shown below:

60/483,487 filed 6/27/2003

In support, we enclose Page 2 of the Combined Declaration and Power of Attorney which indicates the filing date of the provisional application. Additionally, we provide a copy of the Filing Receipt for Provisional Application Number 60/483,487 which shows both the application number and filing date from which the above-referenced application is based. Applicants respectfully request that the priority information be added to the Filing Receipt. A copy of the Filing Receipt with applicants' requested correction indicated in red is also enclosed.

Applicants further respectfully request that a new and corrected Filing Receipt be issued.

Respectfully submitted,

By 

Ian G. DiBernardo
Registration No. 40,991
Attorney for Applicants
Stroock & Stroock & Lavan LLP
180 Maiden Lane
New York, New York 10038
212-806-5400
Enclosures

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Received from < > at 11/6/03 5:57:41 PM [Eastern Standard Time] 10038-4982 TEL 212.806.5400 FAX 212.806.6066 WWW.STROOCK.COM



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| APPL NO. | FILING OR 371 (c) DATE | ART UNIT | FIL FEE REC'D | ATTY.DOCKET NO | DRAWINGS | TOT CLMS | IND CLMS |
|------------|---------------------------|----------|---------------|----------------|----------|----------|----------|
| 10/615,428 | 07/07/2003 | 3624 | 834 | 061801/1061 | | 13 | 16 |

CONFIRMATION NO. 7410

Steven B. Pokotilow, Esq.
 Stroock & Stroock & Lavan LLP
 180 Maiden Lane
 New York, NY 10038

FILING RECEIPT



"0C000000010984267"

Date Mailed: 10/06/2003

Receipt is acknowledged of this regular Patent Application. It will be considered in its order and you will be notified as to the results of the examination. Be sure to provide the U.S. APPLICATION NUMBER, FILING DATE, NAME OF APPLICANT, and TITLE OF INVENTION when inquiring about this application. Fees transmitted by check or draft are subject to collection. Please verify the accuracy of the data presented on this receipt. If an error is noted on this Filing Receipt, please write to the Office of Initial Patent Examination's Filing Receipt Corrections, facsimile number 703-746-9195. Please provide a copy of this Filing Receipt with the changes noted thereon. If you received a "Notice to File Missing Parts" for this application, please submit any corrections to this Filing Receipt with your reply to the Notice. When the USPTO processes the reply to the Notice, the USPTO will generate another Filing Receipt incorporating the requested corrections (if appropriate).

Applicant(s)

James P. Davidowitz, New York, NY;
 Patrick Burke, New York, NY;
 Linda Mok, New York, NY;
 Victor Osinaga, New York, NY;
 Kenneth Ngai, Forest Hills, NY;
 William Mercado, Cortlandt Manor, NY;

Domestic Priority data as claimed by applicant

60/483,487 Filed 6/27/2003

Foreign Applications

If Required, Foreign Filing License Granted: 10/03/2003

Projected Publication Date: 01/13/2005

Non-Publication Request: No

Early Publication Request: No

Title

Method and system for initiating pairs trading across multiple markets having automatic foreign

exchange price hedge

Preliminary Class

705

**LICENSE FOR FOREIGN FILING UNDER
Title 35, United States Code, Section 184
Title 37, Code of Federal Regulations, 5.11 & 5.15**

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The grant of a license does not in any way lessen the responsibility of a licensee for the security of the subject matter as imposed by any Government contract or the provisions of existing laws relating to espionage and the national security or the export of technical data. Licensees should apprise themselves of current regulations especially with respect to certain countries, of other agencies, particularly the Office of Defense Trade Controls, Department of State (with respect to Arms, Munitions and Implements of War (22 CFR 121-128)); the Office of Export Administration, Department of Commerce (15 CFR 370.10 (j)); the Office of Foreign Assets Control, Department of Treasury (31 CFR Parts 500+) and the Department of Energy.

NOT GRANTED

No license under 35 U.S.C. 184 has been granted at this time, if the phrase "IF REQUIRED, FOREIGN FILING LICENSE GRANTED" DOES NOT appear on this form. Applicant may still petition for a license under 37 CFR 5.12, if a license is desired before the expiration of 6 months from the filing date of the application. If 6 months has lapsed from the filing date of this application and the licensee has not received any indication of a secrecy order under 35 U.S.C. 181, the licensee may foreign file the application pursuant to 37 CFR 5.15(b).

**COMBINED DECLARATION AND POWER OF ATTORNEY
FOR PATENT APPLICATION
(Page 2)**

I hereby claim the benefit under Title 35, United States Code, Section 119(e) of any United States provisional application(s) listed below

| <u>Application No.</u> | <u>Filed (Day/Mo./Yr.)</u> |
|------------------------|----------------------------|
| Not Yet Known | 27 June 2003 |

I hereby claim the benefit under 35 U.S.C. § 120 of any United States application(s), or § 365(c) of any PCT international application designating the United States, listed below and, insofar as the subject matter of each of the claims of this application is not disclosed in the prior United States or PCT international application in the manner provided by the first paragraph of 35 U.S.C. § 112, I acknowledge the duty to disclose information which is material to patentability as defined in 37 C.F.R. § 1.56 which became available between the filing date of the prior application and the national or PCT international filing date of this application.

| <u>Application No.</u> | <u>Filed (Day/Mo./Yr.)</u> | <u>Status</u> (Patented, Pending, Abandoned) |
|------------------------|----------------------------|---|
| | | |

I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under Section 1001 of Title 18 of the United States Code and that such willful false statements may jeopardize the validity of the application or any patent issued thereon.

POWER OF ATTORNEY: As a named inventor, I hereby appoint the following attorney(s) and/or agent(s) to prosecute this application and transact all business in the Patent and Trademark Office connected therewith (list name and registration numbers).

Lawrence Rosenthal, Reg. No. 24,377
Steven B. Pokotilow, Reg. No. 26,405
James J. DeCarlo, Reg. No. 36,120
Matthew W. Siegal, Reg. No. 32,941
David L. Schaeffer, Reg. No. 32,716
Ian G. DiBernardo, Reg. 40,991



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|------------|------------------------|--------------|---------------|----------------|----------|----------|----------|
| 60/483,487 | 06/27/2003 | 160 | | 061801/1053 | | 13 | |

Steven B. Pokotilow, Esq.
 Stroock & Stroock & Lavan LLP
 180 Maiden Lane
 New York, NY 10038

CONFIRMATION NO. 9226

FILING RECEIPT



OC000000010750016

Date Mailed: 08/22/2003

Receipt is acknowledged of this provisional Patent Application. It will not be examined for patentability and will become abandoned not later than twelve months after its filing date. Be sure to provide the U.S. APPLICATION NUMBER, FILING DATE, NAME OF APPLICANT, and TITLE OF INVENTION when inquiring about this application. Fees transmitted by check or draft are subject to collection. Please verify the accuracy of the data presented on this receipt. If an error is noted on this Filing Receipt, please write to the Office of Initial Patent Examination's Filing Receipt Corrections, facsimile number 703-746-9195. Please provide a copy of this Filing Receipt with the changes noted thereon. If you received a "Notice to File Missing Parts" for this application, please submit any corrections to this Filing Receipt with your reply to the Notice. When the USPTO processes the reply to the Notice, the USPTO will generate another Filing Receipt incorporating the requested corrections (if appropriate).

Applicant(s)

James P. Davidowitz, New York, NY;

If Required, Foreign Filing License Granted: 08/22/2003

Projected Publication Date: None, application is not eligible for pre-grant publication

Non-Publication Request: No

Early Publication Request: No

Title

Method and system for initiating pairs trading across multiple markets having automatic foreign exchange price hedge

LICENSE FOR FOREIGN FILING UNDER
 Title 35, United States Code, Section 184
 Title 37, Code of Federal Regulations, 5.11 & 5.15

GRANTED

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